



PATENT
Attorney Docket No. EMT-001
(120418/156868)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANTS: Li et al.
SERIAL NO.: 09/664,226 GROUP NO.: 3624
FILING DATE: September 18, 2000 EXAMINER: Colbert, Ella
TITLE: AUCTION MANAGEMENT

Mail Stop AF
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

FOURTH INFORMATION DISCLOSURE STATEMENT

In accordance with the provisions of 37 C.F.R. 1.97 and 1.98, Applicants hereby make of record the patents and publications listed on the accompanying Form PTO-1449, and other information contained herein, for consideration by the Examiner in connection with the examination of the above-identified patent application. In accordance with 37 C.F.R. 1.98(a)(2), only copies of the non-patent publications (C1-C7) are enclosed. The Examiner's attention is also directed to the file wrappers for pending applications nos. 10/831,969; 10/081,411; and 09/999,670 for appropriate consideration.

REMARKS

In accordance with the provisions of 37 C.F.R. 1.97, this statement is being filed:

- ☐ (1) within three (3) months of the **filing date** of a national application other than a continued prosecution application under 37 C.F.R. 1.53(d), or within three (3) months of the **date of entry of the national stage** as set forth in 37 C.F.R. 1.491 in an international application, or before the mailing of the **first Office action** on the merits, or before the mailing of a **first Office action** after the filing of a request for continued examination under 37 C.F.R. 1.114; or
- ☒ (2) after the period defined in (1) but before the mailing date of a **final action** or a **notice of allowance** under 37 C.F.R. 1.311, and
- ☐ the requisite Statement is below, **OR**

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180.00 DP

- ☒ the requisite fee under 37 C.F.R. 1.17(p), namely **\$180.00**, is included herein, or
- ☐ (3) after the mailing date of a **final action** or **notice of allowance** but before the payment of the **issue fee**, **AND**
- ☐ the requisite Statement is below, **AND**
- ☐ the requisite petition fee under 37 C.F.R. 1.17(p), namely **\$180.00** is included herein.

It is respectfully requested that each of the patents and publications listed on the attached Fourth Form PTO-1449, and other information contained herein, be made of record in this application.

STATEMENT

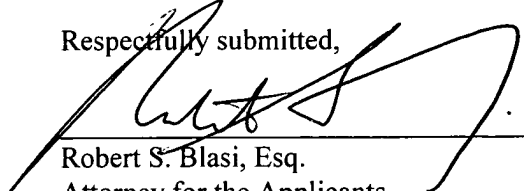
As required under 37 C.F.R. 1.97(e), Applicant(s), through the undersigned, hereby state either that

- ☐ 1. Each item of information contained in the Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application **not more than three months** prior to the filing of the Information Disclosure Statement; or
- ☐ 2. No item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this Statement after making reasonable inquiry, no item of information contained in the Information Disclosure Statement was known to **any individual** designated in 37 C.F.R. 1.56(c) **more than three months** prior to the filing of the Information Disclosure Statement.

Date: January 5, 2006
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Respectfully submitted,


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FOURTH FORM PTO - 1449

INFORMATION DISCLOSURE STATEMENT

ATTORNEY DOCKET NO.: EMT-001

APPLICANTS: Li et al.

APPLICATION NO. 09/664,226

FILING DATE: September 18, 2000

ART UNIT: 3624

EXAM. INIT.		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE IF APPROPRIATE
	A10	5,615,109	03-1997	Elder, Jeff	705	8	
	A11	6,058,379	05-2000	Odom et al.	705	37	
	A12	6,631,356	10-2003	Van Horn et al.	705	26	
	A13	6,871,191	03-2005	Kinney et al.	705	37	
	A14	2001/00321170	10-2001	Sheth, Beerud D.	705	37	
	A15	2001/0049634	12-2001	Stewart, Patrick	705	26	
	A16	2002/0026429	02-2002	Lostis et al.	705	80	
	A17	2002/0103746	08-2002	Moffett, Robert P. JR.	705	37	
	A18	2002/0143692	10-2002	Heimermann et al.	705	37	
	A19	2003/0041014	02-2003	Grey et al.	705	37	

FOREIGN PATENT DOCUMENTS

EXAM. INIT.		DOCUMENT NUMBER	DATE	COUNTRY CODE	CLASS	SUB CLASS	FILING DATE	ABSTRACT ONLY	ENGLISH LANG (Y/N)

EXAMINER

DATE CONSIDERED

OTHER ART, JOURNAL ARTICLES, ETC.

EXAM. INIT.		OTHER DOCUMENTS: (Including Author, Title, Date, Relevant Pages, Place of Publication)
	C1	Jasmin, Lynda C. Office Action for U.S. Patent Application No. 10/081,411, mailed 6/01/2005, pp. 1-6.
	C2	Jasmiin, Lynda C. Office Action for U.S. Patent Application No. 10/081,411, mailed 11/16/2005, pp. 1-6.
	C3	Deshpande, Kalyank Office Action for U.S. Patent Application No. 09/999,670, mailed 11/22/2005, pp. 1-22.
	C4	Segev, Arie; Beam Carrie; Shanthikumar, J. George; "Optimal Design of Internet-Based Auctions", Information Technology and Management, April 2001, pp. 121-163.
	C5	Emiliani, M.L.; "Business-to Business Online Auctions: Key Issues for Purchasing Process Improvement", Supply Chain Management, 2000, pp. 1-10.



FOURTH FORM PTO - 1449 INFORMATION DISCLOSURE STATEMENT		ATTORNEY DOCKET NO.: EMT-001 APPLICANTS: Li et al. APPLICATION NO. 09/664,226 FILING DATE: September 18, 2000 ART UNIT: 3624
	C6	Ba, Sulin; Stallaert, Jan; Whiinston, Andrew; "Optimal Investment in Knowledge Within a Firm Using a Market Mechanism", Management Science, September 2001, pp.1203-1219.
	C7	Yannis, Bakos; "The Emerging Role of Electronic Maarketplaces on the Internet", Association for Computing Machinery, August 1998, pp.35-42.
EXAMINER		DATE CONSIDERED

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